

MICHIGAN DEPARTMENT OF CORRECTIONS <b>POLICY DIRECTIVE</b>		EFFECTIVE DATE 12/02/2002	NUMBER 01.05.100
SUBJECT SELF-AUDIT OF POLICIES AND PROCEDURES		SUPERSEDES 01.05.100 (01/01/96) DOM 2002-1	
		AUTHORITY MCL 791.203	
		ACA STANDARDS 2-CO-1A-22	
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## **POLICY STATEMENT:**

Each Correctional Facilities Administration (CFA) institution and designated Department operational unit shall regularly review its compliance with Department policy and procedures and correct any deficiencies which are found to exist.

## **POLICY:**

### GENERAL INFORMATION

- A. Performance of self-audits enables management and staff to ensure that all operational units comply with policy directives and take proactive steps to correct any non-compliance. Performing self-audits is intended to maximize safe and efficient operations by the Department.
- B. Self-audits shall be performed and related documentation retained in accordance with this policy directive. This policy directive shall control where in direct conflict with a requirement set forth in another policy directive.
- C. The Internal Audit Division of the Office of Audit, Internal Affairs and Litigation, in conjunction with the Office of Training and Recruitment of the Bureau of Human Resources, shall develop and, upon request, provide necessary self-audit training to staff responsible for performing self-audits. Questions regarding self-audits are to be directed to the Internal Audit Division.

### POLICIES AND PROCEDURES TO BE AUDITED

- D. The Director or designee shall annually select the policy directives on which self-audits are to be performed at all CFA institutions. In addition, each Warden shall annually select at least five additional policy directives on which that institution shall perform self-audits.
- E. The Director or designee shall identify all other Department operational units that are required to perform annual self-audits and select the policy directives on which the audits are to be performed. The operational unit Supervisor may select additional policy directives on which to perform self-audits.

### SELF-AUDIT PLAN

- F. By November 1 of each year, each Warden and the Supervisor of each operational unit required to conduct an annual self-audit shall submit a plan for performing the audits during the next calendar year. The plan shall include a list of the policy directives to be audited, including those selected by the Director or designee, and the schedule for completion of the self-audits. Wardens shall submit their plans to the appropriate Regional Prison Administrator for approval. Plans for other operational units shall be submitted to the Director or designee for approval. The approved plans shall be returned to the appropriate Warden or operational unit Supervisor prior to November 30, identifying any revisions or modifications made to the plan.

### PERFORMING SELF-AUDITS

- G. Each Warden and Supervisor of each operational unit required to conduct an annual self-audit, or

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designee, shall be responsible for the overall completion of required audits, including reviewing and overseeing completion of audit reports and ensuring that all necessary corrective action is taken. This also includes assigning staff to perform the audit; staff assigned shall not be directly responsible for implementation of the policy directive being audited.

- H. Self-audits shall address compliance with each factor listed on the Primary Audit Elements List for the policy directive or, if one has not been developed, the pertinent elements of the policy directive. The audit also shall address compliance with the pertinent elements of operating procedures implementing the policy directive. Detailed work papers (e.g., results of any tests performed; interview notes) shall be maintained which identify how the audit was performed and how the findings of the audit were reached. Copies of documents reviewed as part of the audit are not required to be included as part of the work papers but, if not included, shall be specifically identified in the work papers.
- I. At the conclusion of the self-audit, a report shall be submitted to the appropriate Warden or operational unit Supervisor, or designee, with copies to the appropriate Regional Prison Administrator or, for other operational units, the Director or designee. The report shall include the following:
  - 1. Identification of the policy directive, operating procedures, and elements audited.
  - 2. A summary of how the audit was performed. This shall include identifying who was interviewed, what documents were reviewed and what was observed. If a sample of documents was reviewed, the summary shall include how the sample was determined.
  - 3. A summary of the findings of the audit. This shall include identifying the results of any sampling or other audit work performed and where there is and is not compliance.
  - 4. Recommendations for corrective action to be taken for each finding of non-compliance and suggestions to improve operations.
  - 5. A description of the corrective action taken or that will be taken for each finding of non-compliance, including expected compliance dates.

#### RETENTION OF SELF AUDIT REPORTS AND WORK PAPERS

- J. A copy of the self-audit report and work papers shall be retained at the self-audit site for three years or until the next self-audit of that policy is completed, whichever occurs first.

#### OPERATING PROCEDURES

- K. Operating procedures are not required to be developed to implement this policy directive.

#### AUDIT ELEMENTS

- L. An Audit Elements List is not required to be developed for this policy directive.

WSO:OPH:11/04/02